Office of Information Services

Process Asset Library Document Control Procedure

Version 1.0

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1. Purpose

To control changes to and approvals of documents associated with the AMI Process Improvement (PI) Program and the Process Asset Library (PAL).

2. Overview

This procedure describes how a new or revised document becomes part of the AMI Process Asset Library (PAL). As identified in the entry criteria, this procedure assumes the document has already been reviewed for content and, if appropriate, tested in a pilot setting.

The SEPG Librarian is the primary role in this procedure. The document "submitter" – the person who submitted the document for inclusion in the PAL – may also play a role if corrections are required by the librarian or the approvers. The "approvers" are the individuals who must approve the document before it can be included in the PAL.

3. Entry Criteria

- A new or revised document submitted to the SEPG Librarian for inclusion in the PAL.
- Documented evidence (as appropriate) that the submitted document has been tested and/or reviewed to verify the clarity, currency, and completeness of its contents.

4. Procedure Steps

1. The SEPG Librarian reviews the submitted document to ensure that it conforms to all PAL document conventions (see Attachment #1, "PAL Document Conventions").
    a) if not, the Librarian returns the document to (or works with) the submitter to make corrections.
2. The SEPG Librarian assigns a version number to the document (see Attachment #2, "Guidelines for Assigning Version Numbers").
3. The SEPG Librarian assigns a reference number to the document (see Attachment #3, "Guidelines for Assigning PAL Identifiers").
4. The SEPG Librarian places the document under configuration control in "Pending Approval" status.
5. The SEPG Librarian forwards an electronic copy of the document to all approvers, and notifies them of the due date for all comments (see Attachment #4 "Who Approves What?"). Based upon the size and complexity of the document, approvers should be given a minimum of three (3) working days and a maximum of ten (10) working days to review the document.
6. After the due date for comments, the SEPG Librarian reviews all comments.
    a) If any major problems are identified by the approvers, the SEPG Librarian
        i) removes the new version from configuration control,
        ii) returns the document to the submitter for corrections, and
        iii) exits this Procedure.
    b) If any other issues are raised by the approvers, the SEPG Librarian works with the submitter to resolve the issues and then proceeds to the next step.

7. The SEPG Librarian prepares a hard copy of the document with signature blocks and circulates it to all approvers for signatures.
8. The SEPG Librarian stores the signed hard copy in the SEPG Library and moves the copy under configuration control from “pending approval” status to “production” status.
9. The SEPG Librarian updates the PAL to include and/or reference the new version of the document.
10. The SEPG Librarian informs all affected parties that a new version of the document has been approved.

5. Exit Checklist

☐	Document has been signed and stored.
☐	Document has been placed under configuration control.
☐	Process Asset Library has been updated.
☐	Affected parties have been notified.

6. Supporting Materials / Reference Documents

Document Name	Storage Location
“PAL Document Conventions”	PAL
“Guidelines for Assigning Version Numbers”	PAL
“Guidelines for Assigning PAL Identifiers”	PAL
“Who Approves What?”	PAL

7. Glossary of Acronyms and Terms

baseline. A specification or product that has been formally reviewed and agreed upon, that thereafter serves as the basis for further development, and that can be changed only through formal change control procedures [IEEE-610].

PAL. *See:* **process asset library.**

process asset library. A collection of processes and process-related items maintained by the software engineering process group that support project members in successfully carrying out projects.

Document Control

Approval

This document has been approved by the following groups and individuals:

- AMI Software Engineering Process Group

Signatures are on file in the SEPG Library.

Document History

Revision	Date	Description
1.0	5/6/97	Initial baseline version.

Document Storage

This document was created using Microsoft Word for Windows (version 7.0). The file is stored in AMI's Process Asset Library.

Procedure Owner

The AMI Software Engineering Process Group is responsible for maintaining this procedure.

Attachment #1: PAL Document Conventions

These conventions should be applied to any document that will be included in the AMI Process Asset Library.

General

- All documents should be clear, concise, and well organized.
- When available, documents should be created using applicable templates. Available templates are located in the Process Asset Library in the “Internal Documents” section.

Formatting

Title Page

- Documents should include a title page (or title section for smaller documents). The title page should provide the name and version of the document, and should in some way attribute the document to AMI.

Table of Contents

- Larger documents (over 5 pages) should provide a table of contents following the title page. The table should include the heading and starting page number of document sections (and subsections if necessary).

Fonts

- The font size of the main text of documents should be 12 point. Times New Roman is the preferred font type.
- Section headings, paragraph headings, and other areas of special text may be larger or smaller as necessary.
- Bolding, italics, and underlines should be used sparingly within the document’s main text.

Margins

- Documents should have 1 inch margins at the top and bottom of each page (excluding headers and footers), and 1.25 inch margins on the sides.

Other

- Documents should include the page number on every page (title page is optional).
- The date that the document was last revised should be included in the document, preferably on the title page as a minimum.

Attachment #2: Guidelines for Assigning Version Numbers

Version numbers will be used to track changes to baselined documents and to ensure that users have the latest versions of documents. The following conventions will be used in assigning version numbers to PAL documents:

- all version numbers will be of the format *major.minor*
- the first baseline of a document will be assigned the version number **1.0**
- the *major* portion of the version number will be incremented (e.g., **2.0**) if one of the following actions is taken on a baselined document:
    - major changes to document content
    - comprehensive reevaluation of a group of interrelated documents (e.g., all Project Planning documents)
    - comprehensive reevaluation of a category of documents (e.g., all process descriptions)
- the *minor* portion of the version number will be incremented (e.g., **1.1**) if one of the following actions is taken on a baselined document:
    - corrections
    - formatting changes
    - minor changes to document content
- additional decimal places or letters may be appended to the version number of temporary or partial documents (e.g., **1.11** or **1.1a**)

Draft Documents

Assigning version numbers to draft documents is left to the discretion of the individual or group working on the document. Following are suggestions for assigning version numbers to draft documents:

- the first draft is version **0.10**
- for minor changes to the draft, increment the hundredths decimal place (e.g., **0.11**)
- for major changes to the draft, increment the tenths decimal place (e.g., **0.20**)
- when the draft is ready for full review, assign number **0.70**
- if a second full review is required, assign number **0.80**
- when the draft is ready for piloting, assign number **0.90**
- when minor changes are made during or following the pilot, increment the hundredths decimal place (e.g., **0.91**)
- if major changes are required following the pilot (i.e., major enough to warrant re-review and re-piloting), start over numbering at **0.10-a**

Attachment #3: Guidelines for Assigning PAL Identifiers

All documents created within AMI and included in the Process Asset Library will be assigned a unique identifier. Following is the format for these identifiers:

PAL/01-sd-name-v-year

PAL...... Indicates that this document is contained in the AMI Process Asset Library
01.......... Indicates that this document was created by AMI (contrast with “Guidelines for Identifying External Documents”, located in the PAL)
sd.......... The SourceSafe sub-directory in which this document will be stored (see below)
name..... A unique alpha-numeric name for this document (unique within the identified SourceSafe sub-directory)
v............ The version number of this document
year ...... The calendar year in which this version of the document was created

SourceSafe Sub-Directories

Products (for use by AMI project members and leaders)

01	Policies & Standards
02	Processes
03	Procedures
04	Templates & Forms
05	Checklists & Guidelines
06	Recommended Examples
07	Glossaries
08	Training & Guidebooks
09	Quality Assurance
10	Project Lessons Learned
49	Other PI Products

Internal (for use within the PI program)

50	Charters & MoOs
51	Action Plans
52	Other Plans
53	Assessment Reports
54	MTRs & Agendas
55	PI Lessons Learned
56	PI Measurements & Metrics
57	Time Logs
58	PI Proposals
59	Briefings & Status Reports
60	Articles & Newsletters
61	Interviews & Surveys
62	Best Practices
63	URL Lists & Internet
64	Contacts
65	Indexes
99	Other PI Internal

Attachment #4: Who Approves What?

Documents must be approved before they will be included in the AMI Process Asset Library. Different types of documents will require different levels of approval. Also, major and minor revisions to documents will require different levels of approval (for an explanation of major and minor revisions, see Attachment #2). Listed below are the groups and individuals that must approve each type of document.

Policies

Major and minor versions of policies must be approved by:
- Process Improvement Steering Group

Processes

Major versions of processes must be approved by:
- Process Improvement Steering Group
- Software Engineering Process Group

Minor versions of processes must be approved by:
- Software Engineering Process Group

Procedures, Checklists, and Templates

Major versions of procedures, checklists, and templates must be approved by:
- Software Engineering Process Group

Minor versions of procedures, checklists, and templates must be approved by:
- Lead of the Software Engineering Process Group

Improvement Team Charters

Major versions of improvement team charters must be approved by:
- Process Improvement Steering Group
- Software Engineering Process Group
- Improvement team members
- Improvement team members' direct reports (Team Coordinator or Division Manager)

Minor versions of improvement team charters must be approved by:
- Software Engineering Process Group
- Improvement team members

All Other Documents

Unless otherwise indicated on the individual document, major and minor versions of all other documents in the Process Asset Library must be approved by:
- Lead of the Software Engineering Process Group